

**INFORMATION DISCLOSURE  
CITATION**

ATTY. DOCKET NO.

3594-2

APPLICANT

**HARRINGTON et al.**

FILING DATE

**May 29, 1998**

SERIAL NO.

**09/087,574**

GROUP

**2765**

#9  
21-00

(Use several sheets if necessary)

**U.S. PATENT DOCUMENTS**

*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

**FOREIGN PATENT DOCUMENTS**

DOCUMENT	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO

**OTHER DOCUMENTS (including Author, Title, Date, Pertinent pages, etc.)**

27	Landes, David V., 8/16/1996 Letter with attachments
24	Thomas, Rick, 8/28/1996 Letter with attachment
74	"Sample Form of MuniBid™ Notice of Sale," 9 pages
44	Brochure, "Introduction to MuniBid™ Optimizing Municipal Bond Sales," 13 pgs.
707	"BiDCOMP Competitive Bidding System," screen capture, 16 pgs., 1/20/1998, 3/3/1998

\*Examiner James C. Thompson Date Considered 2/1/00

Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Inc copy of this form with next communication to application.

**Complete If Known**

Application Number	09/087,574
Filing Date	May 29, 1998
First Named Inventor	Barrington, et al.
Group Art Unit	Not Yet Assigned
Examiner Name	Not Yet Assigned
Attorney Docket Number	DB562

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Sheet	1	of	1
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Attorney Docket Number	DB562
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**OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS**

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Date Considered

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## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet 2 of 2

### Complete if Known

Application Number	
Filing Date	29 May 1998
First Named Inventor	Harrington, et al
Group Art Unit	
Examiner Name	
Attorney Docket Number	DB000562-000

### OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		RESNICK, Parity On-Line Bidding Program Wins Positive Reviews, The Bond Buyer, May 7, 1997	
		Parity...and the Municipal Securities Issuer, author and date unknown	
		Parity brochure, Copyright 1992, 21st Century Municipals, Inc.	

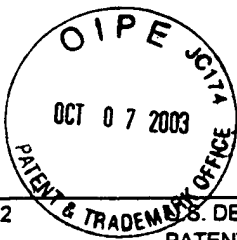
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PATENT AND TRADEMARK OFFICE

SERIAL NO.

09/087,574

GROUP ART  
UNIT

2765

ATTACHMENT  
TO PAPER NO.

17

## NOTICE OF REFERENCES CITED

APPLICANT(S)

HARRINGTON et al.

## U.S. PATENT DOCUMENTS

*		DOCUMENT NO.	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
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## FOREIGN PATENT DOCUMENTS

*		DOCUMENT NO.	DATE	COUNTRY	NAME	CLASS	SUB-CLASS
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R	"Grant Street Advisors Is Setting Up The First Muni Bond Auction Web Site," The Bond Buyer, v320, #30159, pg. 1, 4 June 1997.
S	Richmyer, Richard; "Survey Shows Bond Market is Warming Up to Electronic Trading," The Bond buyer, v321, #30213, 20 August 1997.
T	Stirland, Sarah; "News and Trends: Brokers-Dealers to hawk Products Via Satellite and cable TV," The Bond Buyer, v320, #30125, 16 April 1997.
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EXAMINER

Forest Thompson Jr.

DATE

August 22, 2000

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\* A copy of this reference is not being furnished with this office action.  
(See Manual of Patent Examining Procedure, section 707.05(a).)

Under

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**Complete if Known**

**Application Number**

Filing Date

**First Named Inventor**

Harrington, et al.

**Group Art Unit**

**Examiner Name**

Sheet

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Attorney Docket Number

DB000562-000

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Application Number	09/087,574
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First Named Inventor	Harrington
Group Art Unit	
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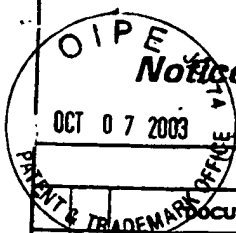
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# Notice of References Cited

Application No. 09/087,574	Applicant(s) HARRINGTON ET AL.
Examiner Forest Thompson Jr.	Group Art Unit 2765
Page 1 of 1	

## U.S. PATENT DOCUMENTS

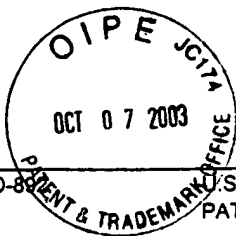
	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS
A	5,794,207	08/11/98	WALKER et al.	705	37
B	5,845,266	12/12/95	LUPIEN et al.	705	37
C	5,905,974	05/18/99	FRASER et al.	705	37
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## NON-PATENT DOCUMENTS

	DOCUMENT (Including Author, Title, Source, and Pertinent Pages)	DATE
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R	"Internet Benefits SF Redevelopment Offering," California Public Finance, v10, n21, pN/A, 13 January 1997
S	Dazzo, Nicholas J.; "In Today's Muni Market, Data Bases, Not Books, Provide Dealers, Clients With Timely Bond Data: Municipal bond dealers have never had it so easy," The Bond Buyer, v289, #2821.
T	29 August 1989.
U	"JP Morgan and Capital Link in Bid to develop Electronic Auction for Corporate Debt Securities," Trading Systems Technology, c2, n20, 24 April 1989.

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**U.S. PATENT DOCUMENTS**

*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
171	5,497,317	03/1996	Hawkins et al.			
221	5,502,637	03/1996	Beaulieu et al.			

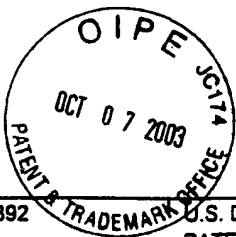
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DOCUMENT	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
					YES	NO

**OTHER DOCUMENTS (including Author, Title, Date, Pertinent pages, etc.)**

171	U.S. Trademark File History for mark "PARITY & Design" (Reg. No. 1772581) including specimen entitled "PARITY A Real-Time, No-Risk Bidding Network From 21 <sup>st</sup> Century Municipals" (1992)
7	Morgenstern, Renata, "Electronic Bidding for Municipal Bonds: Technology Innovations for Competitive Bond Sales," pp. 23-25 <u>Government Finance Review</u> (02/2000)
72	Richtmyer, "Gaining PARITY: Dalcomp Purchases Electronic Bid System To Exploit Internet", <u>The Bond Buyer</u> (2/25/98)
72	Whalen, Robert, "Where is Dalcomp? New Product Awaits Inaugural Deal," <u>The Bond Buyer</u> (8/19/98)
71	Whalen, Robert, "Dalcomp's Electronic Bidding System Set to Debut With Wisconsin GO Deal," <u>Bond Buyer</u> , (8/21/98)
72	4/30/96 Fax from PARITY
72	Document entitled: "Q: What Do These Issues Have in Common?"
72	Official Notice of Sale, Tennessee Local Development Authority
72	Bid Form Tennessee Local Development Authority
72	PARITY Bid Form
72	PARITY Form of Agreement
72	Suggested language document
72	"Financial Advisors/Issuers" document, "The Financial Adviser Receives A Bid Status Report ..."
72	Financial Advisors/Issuers document, "Financial Advisors/Issuers see the following data for each bid and for each issue by dialing 206-635-0940 (this information only shows after the deadline for receipt of bids)."
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*		DOCUMENT NO.	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
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*	B	5,774,176	6/1998	Carter	705	36	
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